

# Budget Presentation to Administration & Regulation Appropriation Subcommittee

Rod Roberts, Director  
Department of Inspections & Appeals  
*February 5, 2013*

# Operational Divisions

## Mission Statement

- Investigate, regulate and adjudicate to ensure program integrity and to protect the health, safety and welfare of lowans.

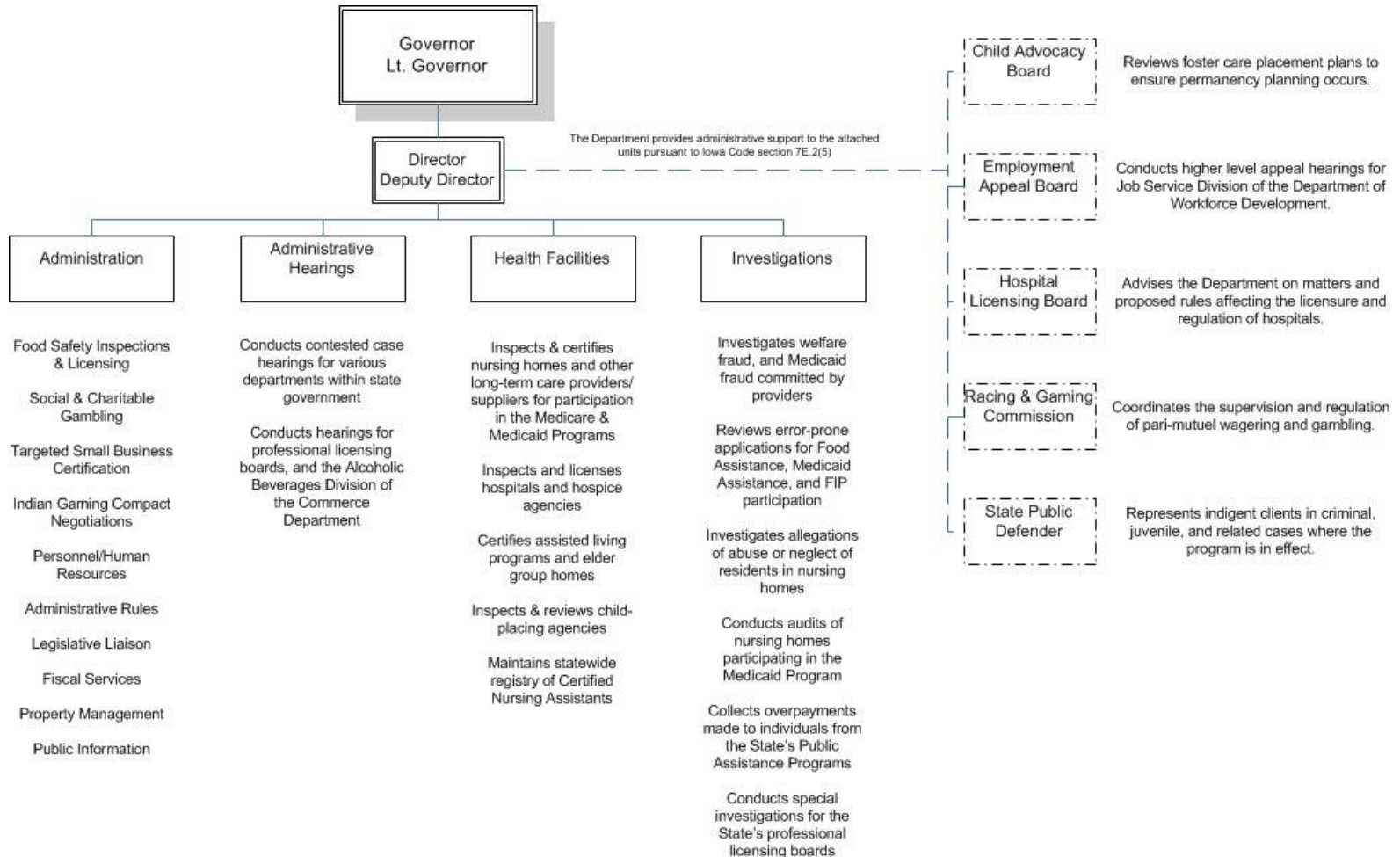
## Vision Statement

- An adaptable organization dedicated to objective, consistent regulation.

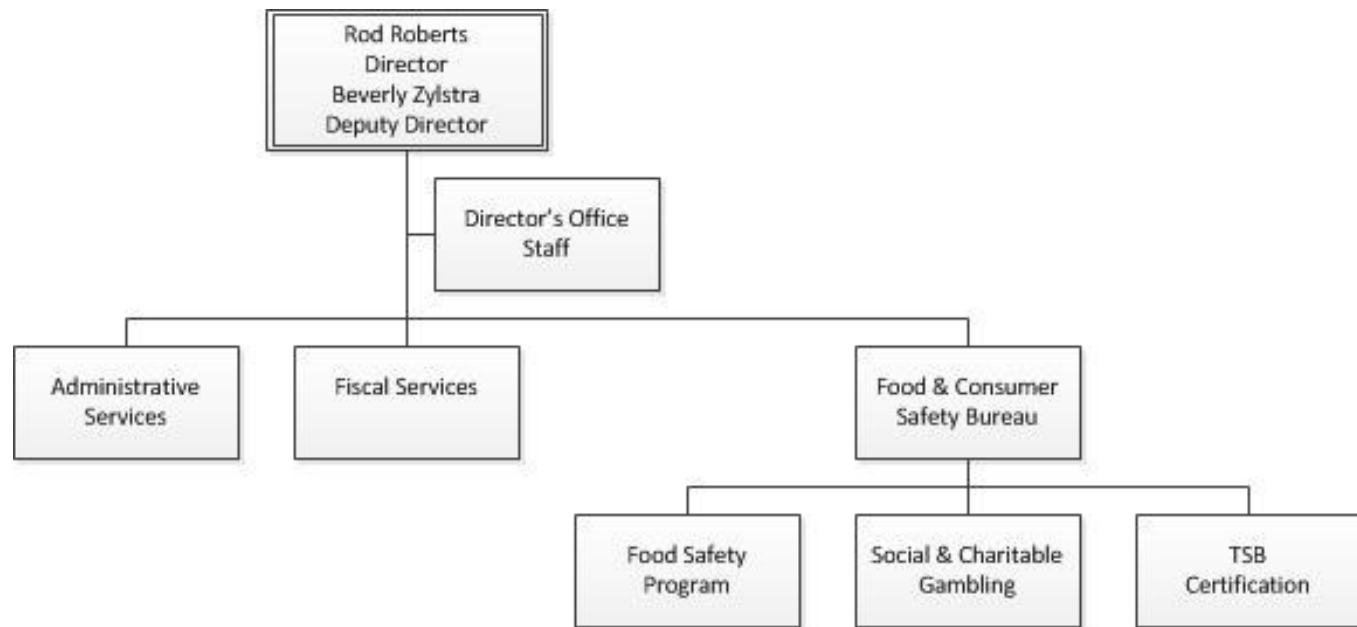
# Operational Divisions - Goals

1. Improve access to information and awareness of DIA responsibilities.
2. Create a work environment that allows employees to maximize their talents and opportunities.
3. Regulations meet the state's changing demographics.

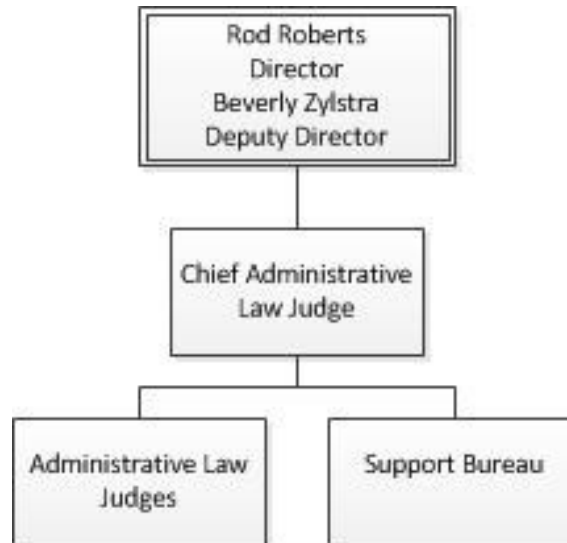
# DIA Organization Chart



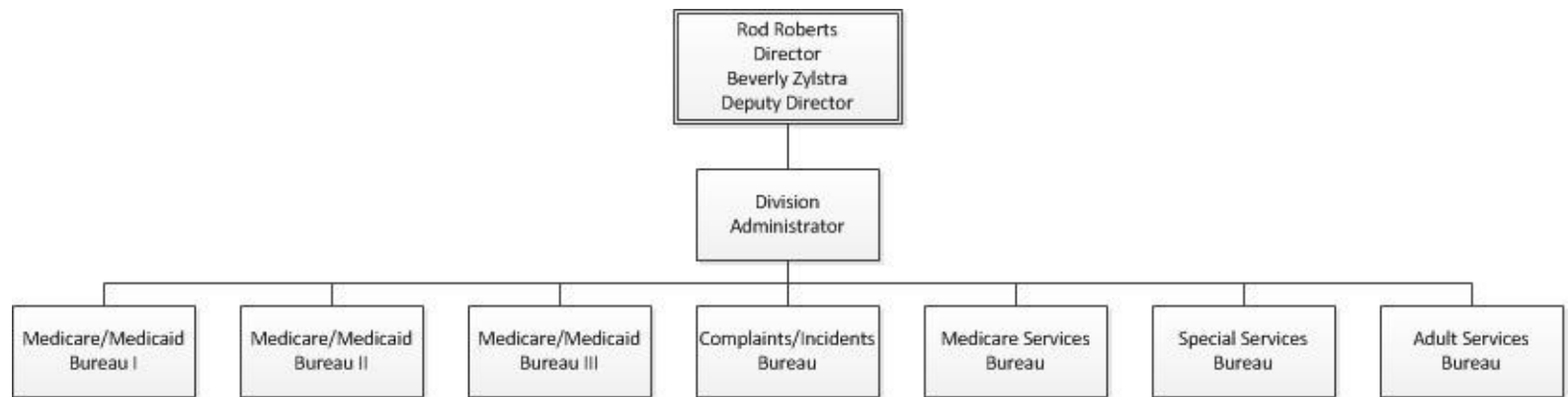
# Administration Division Org Chart



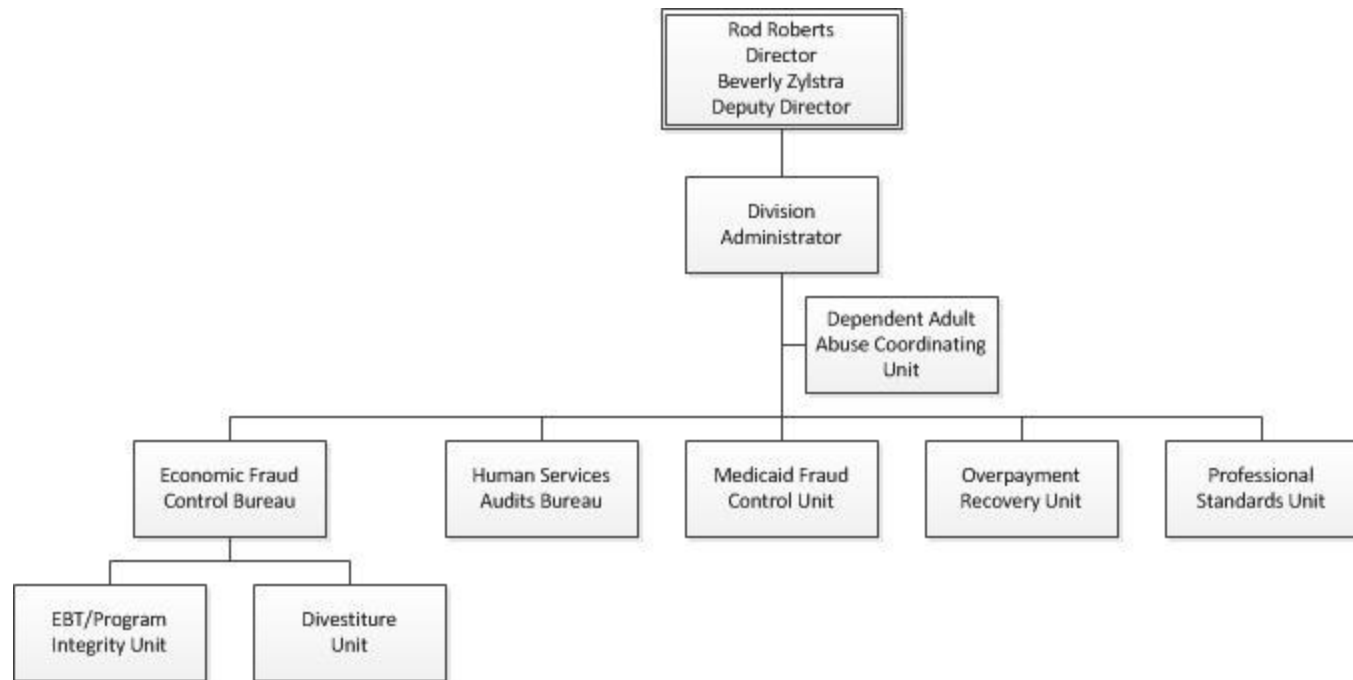
# Administrative Hearings Division Org Chart



# Health Facilities Division Org Chart



# Investigations Division Org Chart





# Child Advocacy Board

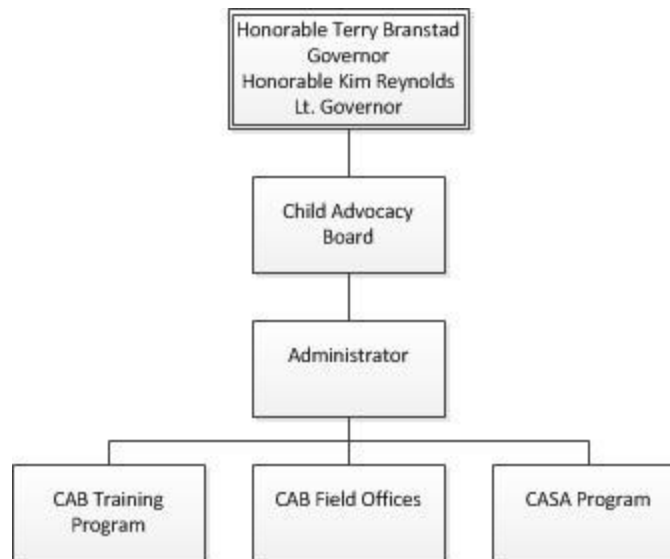
## Mission Statement

- To advocate for the best interests of abused and neglected children by supporting community volunteers that serve as effective voices for individual children in Iowa's child welfare system and by promoting system-wide policies and practices that are in all children's best interests.

## Vision Statement

- All children and families in Iowa's child welfare system receive the services and supports they need in a timely manner.

# Child Advocacy Board Org Chart



# Employment Appeal Board

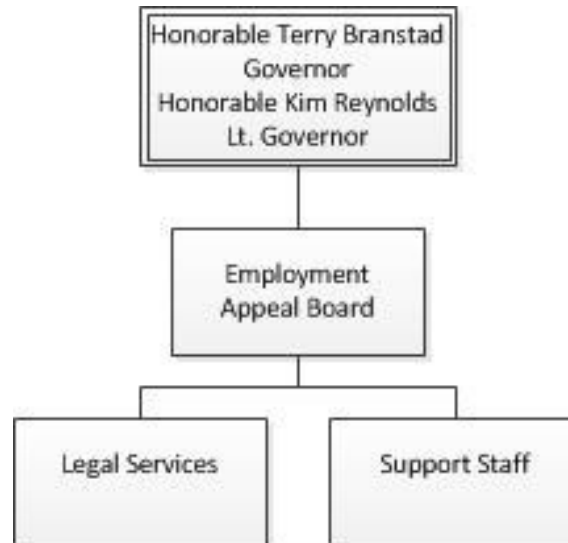
## Mission Statement

- The Employment Appeal Board is a quasi-judicial state agency pursuant to Iowa Code Section 10A-601 that is legislatively mandated to hear and decide contested cases under Chapter 8A, Subchapter IV, and Chapter 80, 88, 91C, 96 and 97B. As a quasi-judicial state agency, the Employment Appeal Board will provide timely adjudication on matters under their review.

## Vision Statement

- The Employment Appeal Board is dedicated to being fair and timely in reviewing the decisions from the lower level based on the administrative evidence. This would include adopting rules pursuant to Chapter 17A to establish the manner in which contested cases are presented and hearings are conducted. The Board's ultimate goal is to be responsive to the citizens of Iowa by promoting efficient and prompt notification to the interested parties of its findings and decisions.

# Employment Appeal Board Org Chart



# Iowa Racing & Gaming Commission

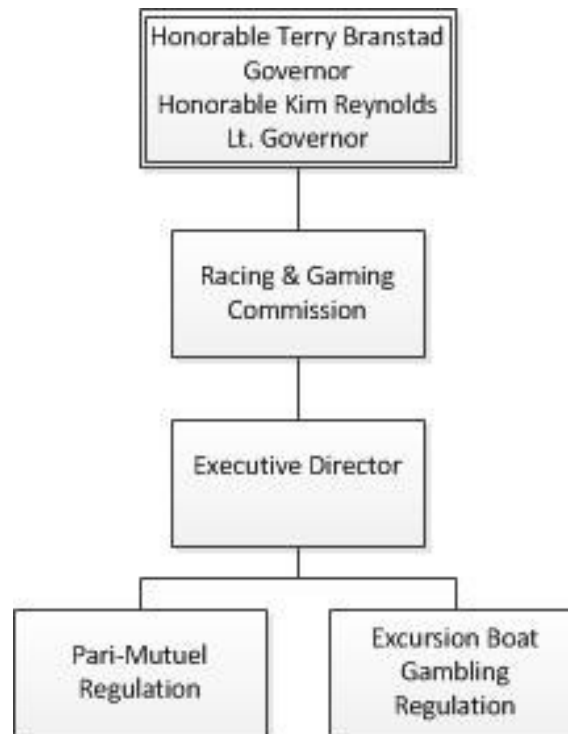
## Mission Statement

- The Iowa Racing and Gaming Commission will administer the laws and rules on pari-mutuel wagering at racetracks and gambling at excursion gambling boats, gambling structures and racetrack enclosures to protect the public and to assure the integrity of licensed facilities and participants.

## Vision Statement

- To be a regulatory commission that creates a honest business climate/environment, that encourages operators and racing participants to come to Iowa, and ensures the people of Iowa and its visitors of the integrity of the racing and gaming industry.

# Iowa Racing & Gaming Commission Org Chart



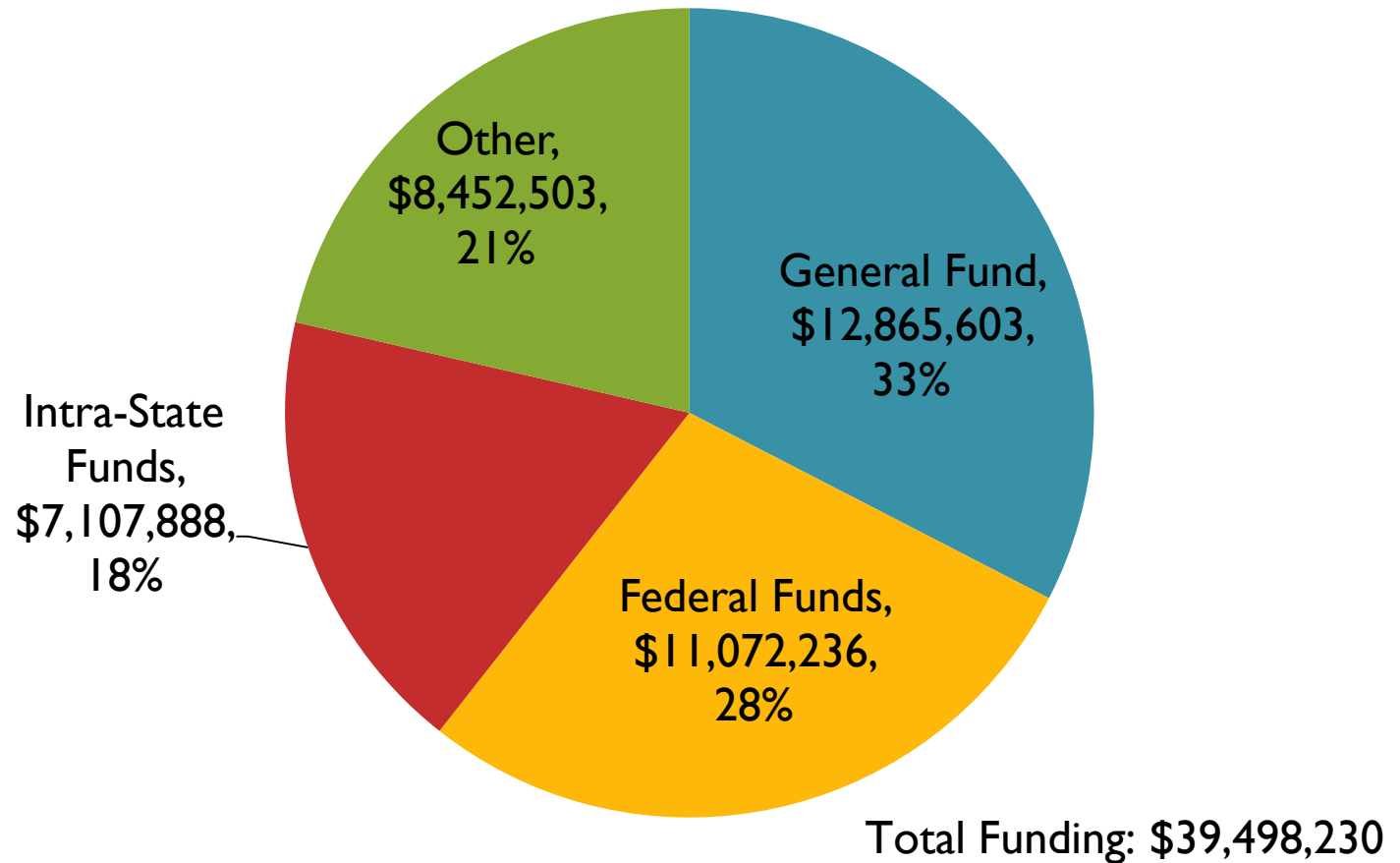
# General Fund, Other Funds Appropriations

|  | Actual<br>FY 2012 | Estimated<br>FY 2013 | Gov Rec<br>FY 2014 | Gov Rec vs<br>Est FY 2013 | Gov Rec<br>FY 2015 | Gov Rec vs<br>Gov Rec FY 14 |
|--|-------------------|----------------------|--------------------|---------------------------|--------------------|-----------------------------|
| <b>General Fund</b>                              |                   |                      |                    |                           |                    |                             |
| <b>Inspections &amp; Appeals, Dept. of</b>       |                   |                      |                    |                           |                    |                             |
| Administrations Division                         | \$ 1,527,740      | \$ 248,409           | \$ 519,403         | \$ 270,994                | \$ 519,403         | \$ -                        |
| Administrative Hearings Division                 | \$ 528,753        | \$ 528,753           | \$ 678,942         | \$ 150,189                | \$ 678,942         | \$ -                        |
| Investigations Division                          | \$ 1,168,639      | \$ 1,168,639         | \$ 2,573,089       | \$ 1,404,450              | \$ 2,573,089       | \$ -                        |
| Health Facilities Division                       | \$ 3,555,328      | \$ 3,917,666         | \$ 5,092,033       | \$ 1,174,367              | \$ 5,092,033       | \$ -                        |
| Employment Appeal Board                          | \$ 42,215         | \$ 42,215            | \$ 42,215          | \$ -                      | \$ 42,215          | \$ -                        |
| Child Advocacy Board                             | \$ 2,680,290      | \$ 2,680,290         | \$ 2,680,590       | \$ 300                    | \$ 2,680,590       | \$ -                        |
| Food and Consumer Safety                         | \$ -              | \$ 1,279,331         | \$ 1,279,331       | \$ -                      | \$ 1,279,331       | \$ -                        |
| <b>Total Inspections &amp; Appeals, Dept. of</b> | \$ 9,502,965      | \$ 9,865,303         | \$ 12,865,603      | \$ 3,000,300              | \$ 12,865,603      | \$ -                        |
| <b>Other Funds</b>                               |                   |                      |                    |                           |                    |                             |
| <b>Inspections &amp; Appeals, Dept. Of</b>       |                   |                      |                    |                           |                    |                             |
| Medicaid Fraud - Health Facilities               | \$ 650,000        | \$ 286,661           | \$ 0               | \$ (286,661)              | \$ -               | \$ -                        |
| Medicaid Fraud - EBT Investigations              | \$ 119,070        | \$ 119,070           | \$ 0               | \$ (119,070)              | \$ -               | \$ -                        |
| Medicaid Fraud - Dependent Adult                 | \$ 885,262        | \$ 885,262           | \$ 0               | \$ (885,262)              | \$ -               | \$ -                        |
| Medicaid Fraud - Boarding Homes                  | \$ 119,480        | \$ 119,480           | \$ 0               | \$ (119,480)              | \$ -               | \$ -                        |
| DIA - Med Fraud - Depenent Adult Abue            | \$ 250,000        | \$ 250,000           | \$ 0               | \$ (250,000)              | \$ -               | \$ -                        |
| DIA - RUTF                                       | \$ 1,623,897      | \$ 1,623,897         | \$ 1,623,897       | \$ -                      | \$ 1,623,897       | \$ -                        |
| Medicaid Fraud - Assisted Living                 | \$ 1,339,527      | \$ 1,339,527         | \$ 0               | \$ (1,339,527)            | \$ -               | \$ -                        |
| <b>Total Inspections and Appeals, Dept. of</b>   | \$ 4,987,236      | \$ 4,623,897         | \$ 1,623,897       | \$ (3,000,000)            | \$ 1,623,897       | \$ -                        |
| <b>Racing Commission</b>                         |                   |                      |                    |                           |                    |                             |
| Pari-Mutuel Regulation Fund                      | \$ 2,628,519      | \$ 3,062,765         | \$ 3,062,765       | \$ -                      | \$ 3,062,765       | \$ -                        |
| Riverboat Regulation Fund                        | \$ 3,194,244      | \$ 3,045,719         | \$ 3,170,719       | \$ 125,000                | \$ 3,170,719       | \$ -                        |
| <b>Total Racing Commission</b>                   | \$ 5,822,763      | \$ 6,108,484         | \$ 6,233,484       | \$ 125,000                | \$ 6,233,484       | \$ -                        |
| <b>Total Inspections &amp; Appeals Dept. of</b>  | \$ 10,809,999     | \$ 10,732,381        | \$ 7,857,381       | \$ (2,875,000)            | \$ 7,857,381       | \$ -                        |

# FY 14 Funding Sources

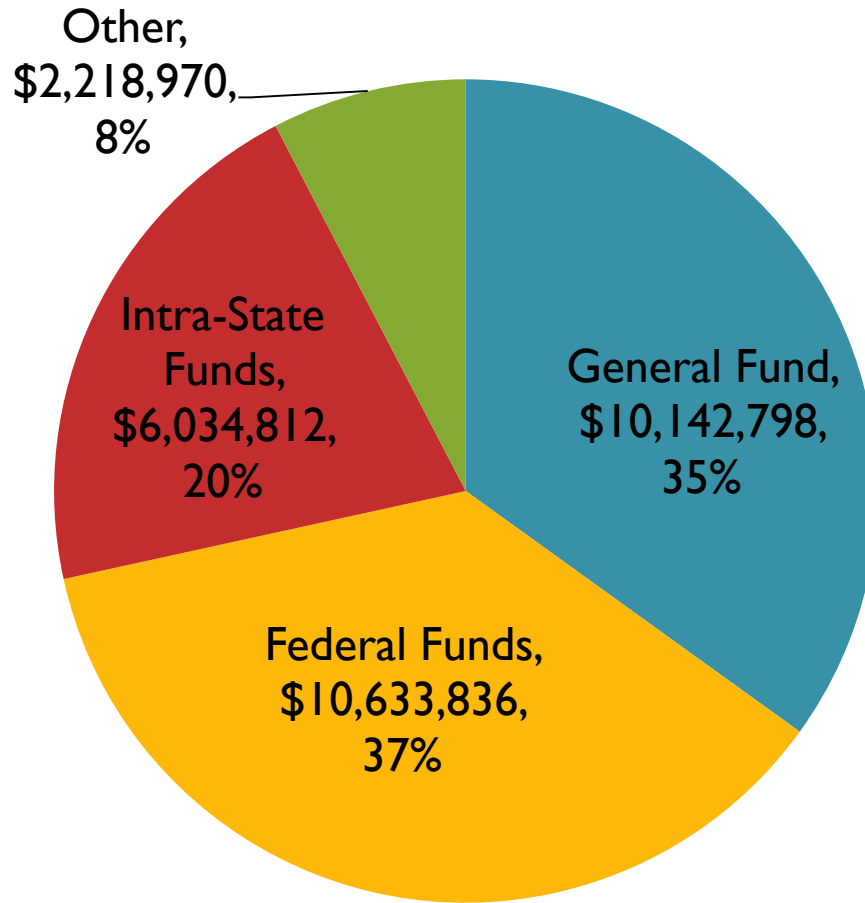
## Operational Divisions & Attached Units

(excluding State Public Defender)





# FY 14 Funding Sources Operational Divisions

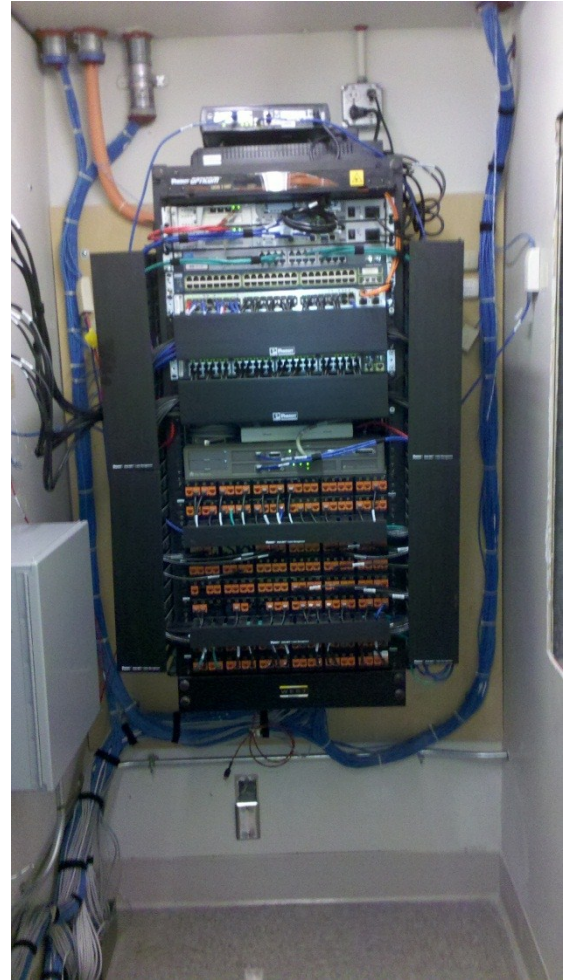
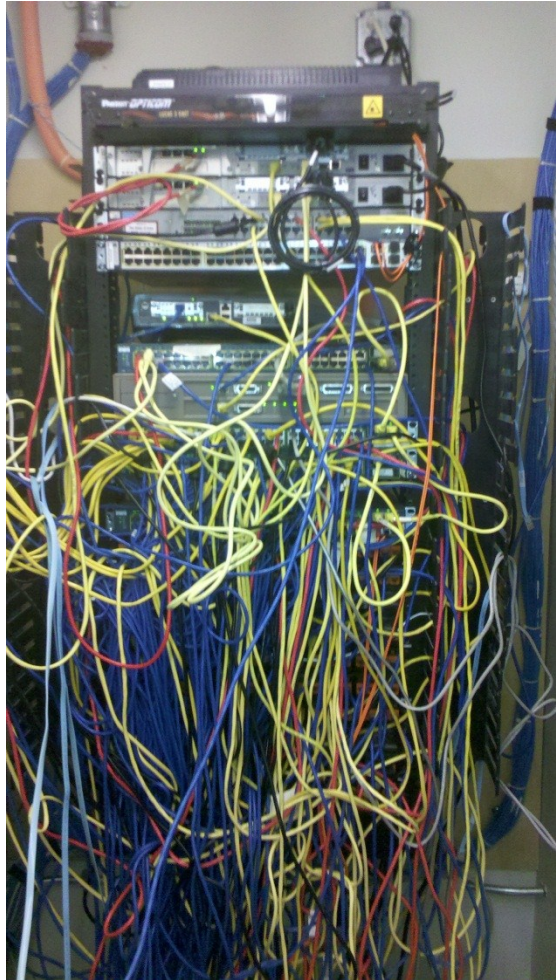


Total Funding: \$29,030,416

# IT Consolidation

- Embraced the Governor's recommendation to consolidate IT systems with the Department of Administrative Services, Information Technology Enterprise
- Moved six servers and applicable hardware from DIA to ITE server farm, and shut down in-house applications
- Reduced costs associated with the repair, maintenance, and replacement of servers and hardware
- Eliminated private contract for networking services by utilizing ITE's VPN services for field staff in the Investigations Division and Food & Consumer Safety Bureau
- Took advantage of State's software purchasing power to upgrade all DIA users to Windows 7 and Microsoft Office 2010
- Entered into service agreement with ITE to provide desktop support for all DIA users except for the Health Facilities Division's field staff, which is supported by a Department employee
- Allows Department employees to focus on their job duties, rather than worry about upgrading their computers or patching their software and applications

# IT Consolidation - *continued*



# Electronic Forms/Databases

- Created a centralized digital filing system for all Investigations Division cases, which eliminated the need to mail case files to and from field investigators' office, and saved thousands of dollars in postage and printing, as well as increased investigators' productivity.
- Created a SharePoint Workspace accessible to all employees in the Investigations Division, in which standardized forms are maintained. One of the standardized forms was converted to an electronic document, which replaced seven forms and eliminated confusions throughout the Division.
- Consolidated multiple Investigations Division databases into a single centralized database. Information on any investigation can now be accessed, regardless of whether it's an economic fraud case, a divestiture case, or a case that's in recovery status.
- Created an automated process for receiving referrals from the Iowa Department of Human Services, the U.S. Department of Housing and Urban Development, and other state and federal agencies. New process eliminated manual data entry, which increases productivity of field investigators.
- Developing a pilot project for the Adult Services Bureau that will replace multiple forms with a simpler on-screen inspection application.
- Working to create a single, all-inclusive database for the Health Facilities Division rather than the various lists, spreadsheets, and documents currently used to track health care provider and supplier data.

# DIA LEAN Events

## **Health Facilities Division Value Stream Mapping (October 24-28, 2011)**

- Change of how survey assignments are made
- Consolidation of databases
- Cross training of staff

## **DIA/DHS Joint Eligibility Investigations Kaizen (June 11-14, 2012)**

- DIA has created two investigation protocols. One is a shorter with quick turnaround time for front end investigations and then a more in-depth, lengthy investigation for ongoing eligibility investigations.
- Communication between the two agencies has dramatically improved since the Kaizen.
- There is now a greater understanding of what each agency does in the process.

## **Health Facilities Division Complain Unit Kaizen (October 29 – November 2, 2012)**

- DIA is examining technology options that could make the surveyors more efficient in their work.
- A more stream lined survey method for complaint/incident investigations was created.
- Quarterly staff meetings have been established to share best practices and improve communication.



# LEAN Event Teams



Health Facilities Division  
Value Stream Mapping



DIA/DHS Eligibility  
Investigations Kaizen

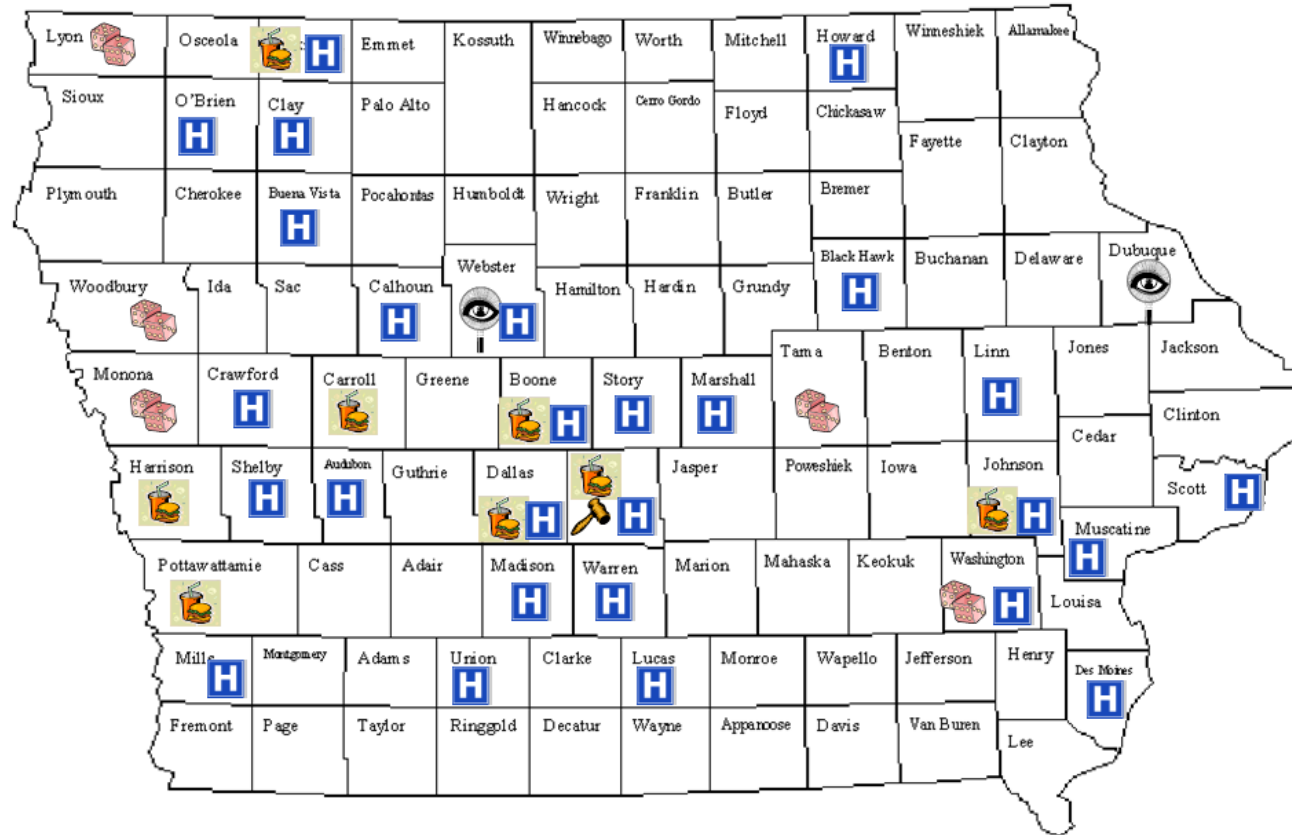


Health Facilities Division  
Complaint Unit Kaizen

# Quality Indicator Survey (QIS)

- The Quality Indicator Survey (QIS) is a computer-assisted long-term care survey process used by State Survey Agencies and the federal Centers for Medicare & Medicaid Services (CMS) to determine if Medicare and Medicaid certified nursing homes meet the Federal requirements.
- The QIS was designed to achieve several objectives:
  - Improve consistency and accuracy of quality of care and quality of life problem identification by using a more structured process;
  - Enable timely and effective feedback on survey processes for surveyors and managers;
  - Systematically review requirements and objectively investigate all triggered regulatory areas within current survey resources;
  - Provide tools for continuous improvement;
  - Enhance documentation by organizing survey findings through automation; and
  - Focus survey resources on facilities (and areas within facilities) with the largest number of quality concerns.

# Understanding Our Customers, Supporting Our Employees



**Administrative Hearings**  
Participated in a contested case hearing in Des Moines.

**Food Inspections**  
Participated in seven food establishment inspections and a FDA Regional Conference.

**Racing & Gaming**  
Visited five gambling operations, including all three Native American casinos.

**Health Facilities**  
Participated in 42 surveys at nursing homes, hospitals, dialysis centers, and assisted living programs, and attended four regional health care meetings.

**Investigations**  
Participated in two economic fraud investigations in the Fort Dodge and Dubuque areas.



# For More Information or To Schedule a Visit, Contact:

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